

AGENDA

Audit, Risk and Compliance Committee Meeting

December 1, 2020 ~ 1:45 PM

SERS LIVESTREAM ACCESS

<https://www.pacast.com/live/sers>

1. Call to Order
2. Welcome and Introductions – None
3. Approval of September 29, 2020 Committee Meeting Minutes
4. Old Business
 - a. Conflict of Interest Questionnaire
 - b. Insider and Personal Trading Policy Amendment
5. Special Presentations
 - a. KPMG's 2020 Independent Audit Plan and Strategy
Eric Forkner, Partner; Craig Swallow, Managing Director; Lindsey Hoff,
Manager – KPMG LLP
6. New Business – None
7. Executive Session
 - a. Schedule of Employer Allocations and Pension Amounts by Employer as of
December 31, 2019 (GASB 68)
 - b. Independent Auditor's Required Communications to the Audit, Risk and Compliance
Committee – Auditing Standard No. 16
 - c. Update on Data Loss Prevention Technology
 - d. Acting Chief Compliance Officer Update – Quarterly Report as of
September 30, 2020
 - e. SERS' Results of the Governor's First Annual Risk Perception Survey
 - f. OIT Inventory of Equipment and Review of Acquisition and Disposition
Procedures

- g. Review of Investment Office Staff Travel for Calendar 2019
 - h. Review of Due Diligence Performed on Board Approved Investments for the Period September 2020
 - i. Status of 2020 Performance Goals for (1) Internal Audit Director and (2) Acting Chief Compliance Officer
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- 8. Public Session Resumes
 - 9. Committee Comments/Concerns/Questions
 - 10. Motion to Adjourn

Committee Members: Committee Chair, Treasurer Joseph Torsella; Senator John DiSanto; Representative Dan Frankel; Ms. Mary Soderberg; Mr. Gregory Thall

NEXT COMMITTEE MEETING DATE – February 2021